

Memorandum

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To: DEPUTY DISTRICT DIRECTORS
for Planning

Date: August 2, 2004

DEPUTY DISTRICT DIRECTORS
for Operations

From:  BRIAN J. SMITH
Deputy Director

Planning and Modal Programs

 LAWRENCE H. ORCUTT

Acting Deputy Director
Maintenance and Operations

Subject: Guidelines for Submitting Transportation Information from a Reporting or Monitoring Program to the California Department of Transportation (Department), Revised July 9, 2004

The California Environmental Quality Act (CEQA), (Public Resources Code [PRC] Section 21081.6) requires that public agencies adopt a reporting or monitoring program when they include environmental impact mitigation as a condition of project approval. PRC Section 21081.7 requires that public agencies submit such information to the Department if the project is of statewide, regional or area-wide significance; in addition, 21081.7 requires that the Department adopt guidelines for the submittal of such information.

In February 2003, the Department issued *Guidelines for Submitting Transportation Information From a Reporting or Monitoring Program to the Department* (Guidelines).

We revised the Guidelines, effective July 9, 2004, in response to comments and questions that we received following distribution of the February 2003 edition. The new Guidelines seek to clarify the procedures for the Department and public agencies by providing a bit more detail to the steps that we are asking them to take. In addition, we have modified the Checklist/Certification form to more easily accommodate its purposes.

The revised Guidelines are enclosed, as is a sample cover letter for use in forwarding them from district Intergovernmental Review (IGR) units to local public agencies.

Please direct questions to Tom Neumann, Chief, Office of Community Planning at Calnet 8-461-6882, or Paul Cavanaugh, Chief, Encroachment Permit Branch at Calnet 8-464-6232.

Enclosures: 1. Guidelines, including "Checklist/Certification" form
2. Sample cover letter.

DEPUTY DISTRICT DIRECTORS, et. al

August 2, 2004

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c: Joan Sollenberger, DOTP
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District Directors
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Guidelines for Submitting
Transportation Information from a
Reporting or Monitoring Program to
the California Department of
Transportation

for a

**Project of Statewide, Regional, or
Areawide Significance**

California Department of Transportation

July 9, 2004

GUIDELINES FOR SUBMITTING TRANSPORTATION INFORMATION FROM A REPORTING OR MONITORING PROGRAM TO THE CALIFORNIA DEPARTMENT OF TRANSPORTATION (DEPARTMENT)

INTRODUCTION The California Environmental Quality Act (CEQA) requires, under Public Resources Code (PRC) Section 21081.6, the adoption of reporting or monitoring programs when public agencies include environmental impact mitigation as a condition of project approval. Reporting or monitoring takes place after project approval to ensure implementation of the project in accordance with mitigation adopted during the CEQA review process.

Assembly Bill 1807 (effective January 1, 2001) amended the PRC in a number of ways. Section 21080.4 was amended to add a requirement that lead agencies submit Notices of Preparation (NOPs) to the Governor's Office of Planning and Research when they determine that an environmental impact report will be required to approve a project.

Section 21081.7 was amended with two additional provisions. The first provision required that transportation information resulting from a reporting or monitoring program adopted by a public agency in accordance with Section 21081.6 be submitted to the Department of Transportation (Department) when a project has impacts that are of statewide, regional, or area-wide significance. The second provision required that the Department adopt guidelines for the submittal of those reporting or monitoring programs.

PURPOSE The purpose of these guidelines is to establish clear and consistent statewide procedures to be used by both Department District Intergovernmental Review (IGR) Program Coordinators to identify the scope and timing of transportation information needed from lead agencies, and public agencies when submitting transportation information to the Department, in accordance with Section 21081.7.

PROCEDURES

A. The District IGR Program Managers and/or Coordinators shall:

1. Prior to implementation of mitigation measures:

- a. Notify the CEQA lead agency by letter during “early consultation,” the Notice of Preparation (NOP) stage, or the Initial Study (IS) phase of the CEQA review process that the transportation information included in the reporting or monitoring program will need to be provided to the Department following project mitigation agreement.
- b. Provide the name, address, and telephone number of the District IGR contact to the lead agency.
- c. Provide, as an enclosure to the notification letter, a copy of these “Guidelines” and the Department’s “CEQA Lead Agency Checklist/Certification” form. (Part 1 of the form, *Checklist*, is to be signed by the lead agency following project approval, and a copy submitted to the District along with the transportation reporting or monitoring information. Part 2 of the form, *Certification*, is to be signed by the lead agency and the District upon implementation of all agreed-upon mitigation measures.)

2. Following implementation of mitigation measures as identified in Part 1, *Checklist*, of the CEQA Lead Agency Checklist/Certification form, and certification of implementation by the lead agency in Part 2, *Certification*:

Ensure sign off of Part 2, indicating that the mitigation measures have been implemented.

- 1) If the project required encroachment onto a state highway, obtain the District Permit Engineer’s signature in Part 2.
- 2) If the project did not involve encroachment onto a state highway, the District IGR Coordinator shall sign Part 2.

- 3) The District IGR Coordinator shall: (a) Retain the original document; (b) forward a copy to the District Permit Engineer (if the Permit Engineer signed Part 2); (c) forward a copy to the Department's Headquarters IGR Program Manager; and, (d) send a copy to the lead agency.

B. The CEQA lead agency shall:

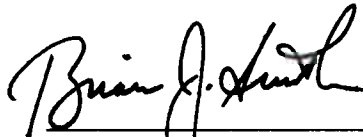
1. Following project approval:

Submit the following information to the Department District IGR contact:

- 1) Name, address, and telephone number of the CEQA lead agency contact responsible for the mitigation reporting or monitoring program.
- 2) Location and custodian of the documents or other material, which constitute the record of proceedings upon which the lead agency's decision to approve the project is based.
- 3) Assurances that the Department can obtain copies of the aforementioned documents and materials, if needed, to clarify details or resolve issues related to the mitigation adopted.
- 4) Detailed information on impact assessment methods, the type of mitigation, specific location, and implementation schedule for each transportation impact mitigation measure included in the reporting or monitoring program.
- 5) A copy of the "CEQA Lead Agency Checklist/Certification" form, with Part 1, *Checklist*, signed and dated, and the reporting or monitoring program transportation information attached or enclosed. The CEQA lead agency, at its discretion, may submit the complete reporting or monitoring program with the required transportation information highlighted.

2. Following implementation of mitigation measures:
 - a. Sign and date Part 2, *Certification*, of the "CEQA Lead Agency Checklist/Certification" form.
 - b. Forward the "CEQA Lead Agency Checklist/Certification" form, with appropriate completion documents attached, to the District IGR contact, certifying that the mitigation measures agreed upon and identified in the reporting or monitoring program have been implemented, and that all other reporting requirements have been adhered to, in accordance with PRC Sections 21081.6 and 21081.7.

APPROVED:


BRIAN J. SMITH
Deputy Director
Planning and Modal Programs

8-2-04
Date


LARRY ORCUTT
Acting Deputy Director
Maintenance and Operations

7-9-04
Date

CEQA LEAD AGENCY CHECKLIST/CERTIFICATION *
TRANSPORTATION INFORMATION FROM A REPORTING OR MONITORING PROGRAM

Part 1 - Checklist

Project Name: _____

Lead Agency: _____

Lead Agency Contact (Name, Title, Agency, Address & Phone): _____

State Clearinghouse (SCH) File #/s: _____

Document Type/s: _____

Findings & Approval Date/s: _____

Project Proponent (Name, Title, Company, Address & Phone): _____

For each specific Transportation Related Mitigation Measure associated with this Project, The following information items are included in the attached materials:

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	Location/Custodian Of CEQA Documents, Proceedings, Records
<input type="checkbox"/>	<input type="checkbox"/>	Description Of How To Obtain Copies Of Above Documents
<input type="checkbox"/>	<input type="checkbox"/>	Mitigation Measure Name & Identifying Number
<input type="checkbox"/>	<input type="checkbox"/>	Detailed Description of Measure & its Purpose (attach blueprints if necessary)
<input type="checkbox"/>	<input type="checkbox"/>	Measure Location Description, Latitude/Longitude, & Vicinity Map
<input type="checkbox"/>	<input type="checkbox"/>	Location of Impacted State Highway Component (County, Route, Postmile)
<input type="checkbox"/>	<input type="checkbox"/>	Caltrans Encroachment Permit Number (if one was needed)
<input type="checkbox"/>	<input type="checkbox"/>	Copy of Other Agency Permits required for this Measure (if needed)
<input type="checkbox"/>	<input type="checkbox"/>	Completion Criteria (including detailed performance objectives)
<input type="checkbox"/>	<input type="checkbox"/>	Implementation Schedule
<input type="checkbox"/>	<input type="checkbox"/>	Estimated Monetary Value of Completed Measure & % Local Agency Funded
<input type="checkbox"/>	<input type="checkbox"/>	Responsible Contractor (Name, Company, Address & Phone)

The above project mitigation measures will be implemented as indicated in the adopted reporting or monitoring program, and the California Department of Transportation will be notified upon implementation.

CEQA Lead Agency

Date

Part 2 - Certification

We certify that the agreed upon mitigation measures have been implemented, and all other requirements have been adhered to, in accordance with PRC Sections 21081.6 and 21081.7. Attached: 1. Completion evaluation (including field inspection reports); 2. Photograph of completed measure.

Signature

& Date: _____

Name:

Title:

CEQA Lead Agency

California Department of Transportation

* This form is to be used by public agencies to submit their mitigation reporting or monitoring programs to the California Department of Transportation (Department) when a CEQA project has been found to have transportation or circulation impacts that are of statewide, regional, or area-wide significance. Copies of this form, and the Department Guidelines developed pursuant to PRC Section 21081.7, can be downloaded from our website (http://www.dot.ca.gov/hq/tpp/offices/ocp/igr_guidelines_procedures.htm). Completed form with attached materials may be post-mailed, e-mailed, or faxed to the appropriate Department District Planning Office, Attention: Intergovernmental Review (IGR) Coordinator. {Form Version 07/2004}